

FORM PTO 1390
(REV 5-93)

US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER
2005_0070ATRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. §371U.S. APPLICATION NO.
(if known, see 37 CFR 1.101)
NEW **10/528031**International Application No.
PCT/EP2003/010564International Filing Date
September 23, 2003Priority Date Claimed
September 27, 2002**Title of Invention**POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THESE AND THEIR USE FOR THE PREVENTION, DIAGNOSIS
OR TREATMENT OF LIVER DISORDERS AND EPITHELIAL CANCER**Applicant(s) For DO/EO/US**

Christian GUELLY, Charles BUCK, Kurt ZATLOUKAL

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. §371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. §371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. §371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. §371(c)(2)). **ATTACHMENT A**
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)).
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19.
9. ☒ An executed oath or declaration of the inventor(s) (35 U.S.C. §371(c)(4)). **ATTACHMENT B**
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §371(c)(5)).

Items 11. to 14. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. **ATTACHMENT C**
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.

ATTACHMENT D

13. ☒ A FIRST preliminary amendment. **ATTACHMENT E**

☐ A SECOND or SUBSEQUENT preliminary amendment.

14. ☒ Other items or information: **WO 2004/029287 - ATTACHMENT F**

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEE FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975.

U.S. APPLICATION NO. 10/528031 NEW		INTERNATIONAL APPLICATION NO. PCT/EP2003/010564		ATTORNEY'S DOCKET NO. 2005_0070A							
15. <input checked="" type="checkbox"/> The following fees are submitted Basic National Stage Fee \$300.00 National Stage Search Fee \$400.00 National Stage Examination Fee \$200.00 Specification/drawings in excess of 100 pages (1 units of 50 x \$250.00) = \$250.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">CALCULATIONS</th> <th style="width: 50%;">PTO USE ONLY</th> </tr> <tr> <td style="height: 40px;"></td> <td></td> </tr> <tr> <td>\$1,150.00</td> <td></td> </tr> </table>		CALCULATIONS	PTO USE ONLY			\$1,150.00	
CALCULATIONS	PTO USE ONLY										
\$1,150.00											
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$							
Claims	Number Filed	Number Extra	Rate								
Total Claims	67 -20 =	47	X \$50.00	\$2,350.00							
Independent Claims	10 - 3 =	7	X \$200.00	\$1,400.00							
Multiple dependent claim(s) (if applicable)			+ \$360.00	\$360.00							
TOTAL OF ABOVE CALCULATIONS =				\$5,260.00							
<input checked="" type="checkbox"/> Small Entity Status is hereby asserted. Above fees are reduced by 1/2.				\$2,630.00							
SUBTOTAL =				\$2,630.00							
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$						
TOTAL NATIONAL FEE =				\$2,630.00							
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$40.00							
TOTAL FEES ENCLOSED =				\$2,670.00							
				Amount to be refunded	\$						
				Amount to be charged	\$						
a. <input checked="" type="checkbox"/> A check in the amount of <u>\$2,670.00</u> to cover the above fees is enclosed. A duplicate copy of this form is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. 23-0975 in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>23-0975</u> .											
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.											
19. CORRESPONDENCE ADDRESS <div style="text-align: center; margin-top: 20px;"> CUSTOMER NO. 000513 </div>			By: <u>Warren M. Cheek, Jr.</u> Warren M. Cheek, Jr., Registration No. 33,367 WENDEROTH, LIND & PONACK, L.L.P. 2033 "K" Street, N.W., Suite 800 Washington, D.C. 20006-1021 Phone: (202) 721-8200 Fax: (202) 721-8250 <div style="text-align: right;">March 16, 2005</div>								

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